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PTO/SB/05 (03-01)

Approved for use through 10/31/2002, OMB 0651-0032  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	ST-99-AD-037
First Inventor	Allen
Title	Disk Controller Providing for the Auto-Transfer of Host-Requested-Data from a Cache Memory Within a Disk Memory System
Express Mail Label No.	EL 000 623 408 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. <i>See 37 CFR 1.27.</i>	8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
3. <input checked="" type="checkbox"/> Specification [Total Pages 32]	a. <input type="checkbox"/> Computer Readable Form (CRF)
<ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings <i>(if filed)</i></li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul>	
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 5]	b. Specification Sequence Listing on: <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul>
5. Oath or Declaration [Total Sheets 1]	c. <input type="checkbox"/> Statements verifying identity of above copies
a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <i>(for continuation/divisional with Box 18 completed)</i> <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b>  <i>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</i></li> </ul>	
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	

18 If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_

Prior application information: \_\_\_\_\_ Examiner: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input type="checkbox"/> Customer Number or Bar Code Label	 (Insert Customer Number or Bar Code Label here)		or	<input type="checkbox"/> Correspondence address below
Name	30432			
Address	PATENT TRADEMARK OFFICE			
City	State	Zip Code		
Country	Telephone	Fax		

Name (Print/type)	Steven H. Slater	Registration No. (Attorney/Agent)	35361
Signature			Date
			14 DEC 2001

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1296.00)

## Complete if Known

Application Number	TBD
Filing Date	December 14, 2001
First Named Inventor	Allen
Examiner Name	TBD
Group Art Unit	TBD

Attorney Docket No. ST-99-AD-037

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	50-1065
Deposit Account Name	Slater & Matsil, LLP.
X	Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
	Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit Card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for ex parte reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	400	216	200 Extension for reply within second month	
117	920	217	460 Extension for reply within third month	
118	1,440	218	720 Extension for reply within fourth month	
128	1,960	228	980 Extension for reply within fifth month	
119	320	219	160 Notice of Appeal	
120	320	220	160 Filing a brief in support of an appeal	
121	280	221	140 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,280	241	640 Petition to revive - unintentional	
142	1,280	242	640 Utility issue fee (or reissue)	
143	460	243	230 Design issue fee	
144	620	244	310 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1.17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties) 40.00	40.00
146	740	246	370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify)				

\*\* or number previously paid, if greater. For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY		Complete if applicable		
Name (Print/Type)	Signature	Registration No. (Attorney/Agent)	Telephone	Date
Steven H. Slater	Steven H. Slater	35361	972-732-1001	14 DEC 01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant commissioner for Patents, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Allen

Art Unit: TBD

Serial No.: TBD

Examiner: TBD

Filed: December 14, 2001

Docket: ST-99-AD-037

For: Disk Controller Providing for the Auto-Transfer of Host-Requested-Data from a Cache Memory Within a Disk Memory System

**Certificate of Mailing via Express Mail**

**EXPRESS MAIL** mailing label number: EL 000 623 408 US

Date of Deposit: December 14, 2001

I hereby certify that the following documents, which are enclosed, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: BOX: Patent Application, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202:

- Utility Patent Application Transmittal (1 page)
- Preliminary Amendment (3 pages)
- Complete Copy of Patent Application (37 pages), to include:
  - Specification (32 pages)
  - Formal Drawings (5 pages)
- Declaration and Power of Attorney (1 page)
- Assignment Recordation Cover Sheet (1 page)
- Copy of Original Signed Assignment (2 pages)
- Fee Transmittal (1 original and 1 copy)
- Return Postcard

Respectfully submitted,



Karen D. Fabritiis  
Legal Assistant

Slater & Matsil, L.L.P.  
17950 Preston Road, Suite 1000  
Dallas, Texas 75252-5793  
(972) 732-1001 (telephone)  
(972) 732-9218 (facsimile)